

05099  
033004

U.S.PTO

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |  |                               |   |
|---|--|-------------------------------|---|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(ONLY FOR NEW NONPROVISIONAL APPLICATIONS UNDER<br/>37 CFR 1.53(B))</small> |  | <b>Attorney Docket No.</b>    | 46162-00008USPT   |
|   |  | <b>First Inventor</b>         | Yaoming Zhang   |
|   |  | <b>Title</b>                  | DIRECTED REFLECTION LIGHT COLLECTING<br>DEVICE WITH PLANAR REFLECTORS |
|   |  | <b>Express Mail Label No.</b> | EV382165639US   |

|   |  |   |  |
|---|--|---|--|
| <b>APPLICATION ELEMENTS</b><br><small>See MPEP chapter 600 concerning utility patent application contents.</small>  |  | <b>ADDRESS TO:</b> MS Patent Application<br>Commissioner for Patents<br>P.O. Box 1450<br>Alexandria, VA 22313-1450  |  |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br><small>(SUBMIT AN ORIGINAL, AND A DUPLICATE FOR FEE)</small>   |  | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or<br>Computer Program ( <i>Appendix</i> )   |  |
| 2. <input checked="" type="checkbox"/> Applicant claims small entity status.<br><small>See 37 CFR 1.27.</small>   |  | 8. Nucleotide and/or Amino Acid Sequence Submission<br><small>(if applicable, all necessary)</small>  |  |
| 3. <input checked="" type="checkbox"/> Specification      [Total Pages] <b>29</b>   |  | a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on:<br>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or    ii. <input type="checkbox"/> Paper<br>c. <input type="checkbox"/> Statements verifying identity of above copies |  |
| <b>ACCOMPANYING APPLICATION PARTS</b>   |  |   |  |
| 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))   |  |   |  |
| 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of<br><small>(when there is an assignee)</small> <input type="checkbox"/> Attorney   |  |   |  |
| 11. <input checked="" type="checkbox"/> English Translation Document ( <i>if applicable</i> )   |  |   |  |
| 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS<br><small>Citations</small>   |  |   |  |
| 13. <input type="checkbox"/>  |  |   |  |
| 14. <input checked="" type="checkbox"/> Preliminary Amendment   |  |   |  |
| 15. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><small>(Should be specifically itemized)</small>  |  |   |  |
| 16. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s)<br><small>(if foreign priority is claimed)</small>   |  |   |  |
| 17. <input checked="" type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).<br><small>Applicant must attach form PTO/SB/35 or its equivalent.</small>  |  |   |  |
| 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76  |  |   |  |
| 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:<br><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)    of prior application No.: _____ |  |   |  |

Prior application information: Examiner \_\_\_\_\_

Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**

|  |  |           |                                   |  |
|--|--|-----------|-----------------------------------|--|
| <input checked="" type="checkbox"/> Customer Number: | 24238  |           | OR                                | <input checked="" type="checkbox"/> Correspondence address below |
| Name   | JENKENS & GILCHRIST, A PROFESSIONAL CORPORATION<br>J. Benjamin Bai |           |                                   |  |
| Address  | 5 Houston Center<br>1401 McKinney, Suite 2700                      |           |                                   |  |
| City   | Houston  | State     | TX                                | Zip Code   |
| Country  | US   | Telephone | (713) 951-3300                    | Fax  |
| Name (Print/Type)                                    | Daniel G. Nguyen   |           | Registration No. (Attorney/Agent) | 42,933   |
| Signature  | <i>Daniel G. Nguyen</i>  |           | Date                              | March 30, 2004   |

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 382165639 US, in an envelope addressed to: MS Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: March 30, 2004

Signature: *Daniel G. Nguyen* (Daniel G. Nguyen)17513 U.S.PTO  
10/813246

033004

05909  
033004

U.S.PTO

PTO/SB/17 (10-03)

Approved for use through 7/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

|                                |                    |                     |                 |
|--------------------------------|--------------------|---------------------|-----------------|
| <b>TOTAL AMOUNT OF PAYMENT</b> | <b>(\$)</b> 457.00 | Attorney Docket No. | 46162-00008USPT |
|--------------------------------|--------------------|---------------------|-----------------|

**METHOD OF PAYMENT (check all that apply)**

|   |                                      |                                      |                                |                               |
|---|--------------------------------------|--------------------------------------|--------------------------------|-------------------------------|
| <input checked="" type="checkbox"/> Check | <input type="checkbox"/> CREDIT CARD | <input type="checkbox"/> MONEY ORDER | <input type="checkbox"/> OTHER | <input type="checkbox"/> NONE |
|---|--------------------------------------|--------------------------------------|--------------------------------|-------------------------------|

 Deposit Account:

|                        |         |
|------------------------|---------|
| Deposit Account Number | 10-0447 |
|------------------------|---------|

|                      |   |
|----------------------|---|
| Deposit Account Name | Jenkens & Gilchrist, a Professional Corporation |
|----------------------|---|

The Director is authorized to: (check all that apply)

|  |   |
|--|---|
| <input type="checkbox"/> Charge fee(s) indicated below   | <input checked="" type="checkbox"/> Credit any overpayments |
| <input checked="" type="checkbox"/> Charge any additional fee(s) or any underpayment of fee(s)                             |   |
| <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account. |   |

**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity             | Small Entity  |                        |          |  |  |
|--------------------------|---------------|------------------------|----------|--|--|
| Fee Code (\$)            | Fee Code (\$) | Fee Description        | Fee Paid |  |  |
| 1001 770                 | 2001 385      | Utility filing fee     | 385.00   |  |  |
| 1002 340                 | 2002 170      | Design filing fee      |          |  |  |
| 1003 530                 | 2003 265      | Plant filing fee       |          |  |  |
| 1004 770                 | 2004 385      | Reissue filing fee     |          |  |  |
| 1005 160                 | 2005 80       | Provisional filing fee |          |  |  |
| <b>SUBTOTAL (1) (\$)</b> |               | <b>385.00</b>          |          |  |  |

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

|                    | Extra Claims | Fee from below     | Fee Paid |
|--------------------|--------------|--------------------|----------|
| Total Claims       | 28           | -20** = 8 x 9.00 = | 72.00    |
| Independent Claims | 1            | -3** = 0 x _____ = |          |
| Multiple Dependent |              |                    |          |

**Large Entity**

| Large Entity             | Small Entity  |  |          |  |
|--------------------------|---------------|--|----------|--|
| Fee Code (\$)            | Fee Code (\$) | Fee Description  | Fee Paid |  |
| 1202 18                  | 2202 9        | Claims in excess of 20                                     |          |  |
| 1201 86                  | 2201 43       | Independent claims in excess of 3                          |          |  |
| 1203 290                 | 2203 145      | Multiple dependent claim, if not paid                      |          |  |
| 1204 86                  | 2204 43       | ** Reissue independent claims over original patent         |          |  |
| 1205 18                  | 2205 9        | ** Reissue claims in excess of 20 and over original patent |          |  |
| <b>SUBTOTAL (2) (\$)</b> |               | <b>72.00</b>   |          |  |

\*\* or number previously paid, if greater; For Reissues, see above

**3. ADDITIONAL FEES**

| Large Entity        | Small Entity |          |          |  |          |
|---------------------|--------------|----------|----------|--|----------|
| Fee Code            | Fee (\$)     | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
| 1051                | 130          | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1052                | 50           | 2052     | 25       | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 1053                | 130          | 1053     | 130      | Non-English specification  |          |
| 1812                | 2,520        | 1812     | 2,520    | For filing a request for ex parte reexamination                            |          |
| 1804                | 920*         | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805                | 1,840*       | 1805     | 1,840*   | REQUESTING PUBLICATION OF SIR AFTER  |          |
| 1251                | 110          | 2251     | 55       | Extension for reply within first month                                     |          |
| 1252                | 420          | 2252     | 210      | Extension for reply within second month                                    |          |
| 1253                | 950          | 2253     | 475      | Extension for reply within third month                                     |          |
| 1254                | 1,480        | 2254     | 740      | Extension for reply within fourth month                                    |          |
| 1255                | 2,010        | 2255     | 1,005    | Extension for reply within fifth month                                     |          |
| 1401                | 330          | 2401     | 165      | Notice of Appeal   |          |
| 1402                | 330          | 2402     | 165      | Filing a brief in support of an appeal                                     |          |
| 1403                | 290          | 2403     | 145      | Request for oral hearing   |          |
| 1451                | 1,510        | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452                | 110          | 2452     | 55       | Petition to revive - unavoidable   |          |
| 1453                | 1,330        | 2453     | 665      | Petition to revive - unintentional   |          |
| 1501                | 1,330        | 2501     | 665      | Utility issue fee (or reissue)   |          |
| 1502                | 480          | 2502     | 240      | Design issue fee   |          |
| 1503                | 640          | 2503     | 320      | Plant issue fee  |          |
| 1460                | 130          | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807                | 50           | 1807     | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806                | 180          | 1806     | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021                | 40           | 8021     | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809                | 770          | 2809     | 385      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810                | 770          | 2810     | 385      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801                | 770          | 2801     | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802                | 900          | 1802     | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) |              |          |          |  |          |

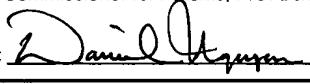
\*Reduced by Basic Filing Fee Paid

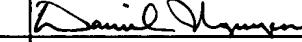
**SUBTOTAL (3) (\$)**

0.00

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as Express Mail, Airbill No. EV 382165639US in an envelope addressed to: MS Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: March 30, 2004

Signature:  (Daniel G. Nguyen)

|                     |   |                                      |                |                          |
|---------------------|---|--------------------------------------|----------------|--------------------------|
| <b>SUBMITTED BY</b> |   | (Complete if applicable)             |                |                          |
| Name (Print/Type)   | Daniel G. Nguyen  | Registration No.<br>(Attorney/Agent) | 42,933         | Telephone (713) 951-3354 |
| Signature           |  | Date                                 | March 30, 2004 |                          |

HOUSTON 306673v1 46162-00008USPT

## Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV382165639US in an envelope addressed to:

MS Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

on March 30, 2004  
Date

  
Signature

Daniel G. Nguyen  
Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Application  
Drawings  
IDS (Citation) by Applicant  
Information Disclosure Statement  
One Reference  
Utility Transmittal  
Fee Transmittal  
Application Data Sheet  
Certified Copy of Priority Document  
English Translation  
Postcard

# CERTIFICATE

THE ATTACHMENT OF THE CERTIFICATE IS THE COPY OF THE  
FOLLOWING PATENT APPLICATION FILED TO THE SIPO

Application Date: August 21, 2003

Application Number: 03152803.1

Application Sort: Invention

Title of Invention: Directed Reflection Light Collecting Device with  
Planar Reflectors

Applicant: ZHANG, Yaoming, ZHANG, Zhenyuan, ZHANG, Wenjin

Inventor: ZHANG, Yaoming, ZHANG, Wenjin, SUN, Liguo, ZHANG,  
Zhenyuan, LIU, Xiaohui, SHEN, Zhaohong, XU, Mingquan,  
CHEN, Qiang

Commissioner of The Chinese State Intellectual Property Office

WANG, Jingchuan

March 18, 2004